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I hereby certify that this correspondence is being deposited with the United States Postal Service as First Class Mail on 5/7/02 in an envelope addressed to: Assistant Commissioner for Patents, Box Missing Parts, Washington, D.C. 20231

Date 5/7/02 Sig: Marjorie Scariati
Name: Marjorie Scariati

IN THE UNITED STATES PATENT & TRADEMARK OFFICE

APPLICANT(S): Yan Wang, et al.

SERIAL NO.: 10/039,245

FILING DATE: 12/31/01

TITLE: OPTICAL COMPONENTS HAVING REDUCED INSERTION LOSS

ART UNIT: 2874

DOCKET: 00-12

Assistant Commissioner for Patents
Box Missing Parts
Washington, DC 20231

LETTER

This is in response to the filing receipt dated 02/08/02. Please make the following correction to the receipt:

Correct the applicant information as follows:

Yan Wang, Norcross, Georgia
Yuan P. Li, Duluth, Georgia

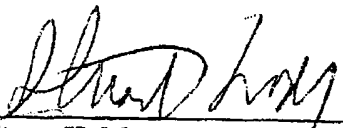
Note, only the first inventor's name appears on the filing receipt, as the second inventor was not identified until the Response to Notice to File Missing Parts was filed on even date herewith. However, the first inventor's name was incorrectly spelled "Yan Wong"

on the filing receipt, rather than "Yan Wang," as indicated on the transmittal sheet filed with the application on December 31, 2001. This correction is marked in red on the attached filing receipt copy.

Further, please add the words "SMALL ENTITY" to the updated filing receipt to indicate the applicant's status as a small entity. The applicant's small entity status was not known at the time of filing, but is being declared as part of the Response to Notice to File Missing Parts, filed herewith. This correction is also marked in red on the attached filing receipt copy.

It is respectfully requested that the updated filing receipt that issues following receipt of the Response to Notice to File Missing Parts indicate both inventors' correct names and residence information, as well as the applicant's status as a small entity.

Respectfully submitted,


Stuart H. Mayer Reg. No. 35,277
Mayer, Fortkort & Williams
251 North Avenue West, 2nd Floor
Westfield, NJ 07090

Date: 5/7/02
Tel: (908) 518-7700
Fax: (908) 518-7795



UNITED STATES PATENT AND TRADEMARK OFFICE

COPY OF PAPERS
ORIGINALLY FILED

COMMISSIONER FOR PATENTS

UNITED STATES PATENT AND TRADEMARK OFFICE

WASHINGTON, D.C. 20231

www.uspto.gov

| APPLICATION NUMBER | FILING DATE | SRP ART UNIT | FIL FEE REC'D | ATTY. DOCKET NO | DRAWINGS | TOT CLAIMS | IND CLAIMS |
|--------------------|-------------|--------------|---------------|-----------------|----------|------------|------------|
| 10/039,245 | 02/31/2001 | 2874 | 0.00 | 00-12 | 5 | 29 | 3 |

MAY 20 2002

3048

TRADEMARK OFFICE

CONFIRMATION NO. 7297

27774

MAYER, FORTKORT & WILLIAMS, PC
251 NORTH AVENUE WEST
2ND FLOOR
WESTFIELD, NJ 07090

FILING RECEIPT



OC00000007446890

Date Mailed: 02/08/2002

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

Yan Wong, Residence Not Provided;

Yan Wang, Norcross, Georgia

Yuan P. Li, Duluth, Georgia

Domestic Priority data as claimed by applicant

Foreign Applications

If Required, Foreign Filing License Granted 02/08/2002

Projected Publication Date: To Be Determined - pending completion of Missing Parts

Non-Publication Request: No

Early Publication Request: No

"SMALL ENTITY"

Title

Optical components having reduced insertion loss

Preliminary Class

385

RECEIVED

02/15/02

L. FORTKORT
& WILLIAMS

LICENSE FOR FOREIGN FILING UNDER

**Response To Notice To File Missing Parts Of Application
Filing Date Granted (PTO-1533)(Small Entity)**

Docket No.
00-12

In Re Application Of: Yan Wang et al.

**COPY OF PAPERS
ORIGINALLY FILED**

Serial No.
10/039,245

Filing Date
12/31/01

Examiner
Unassigned

Group Art Unit
2874

Invention: **OPTICAL COMPONENTS HAVING REDUCED INSERTION LOSS**

TO THE ASSISTANT COMMISSIONER FOR PATENTS:

Box Missing Parts

This is a response to the Notice to File Missing Parts of Application - Filing Date Granted (PTO-1533) mailed on

2/8/02
Date

Enclosed herewith for filing are the following:

- ☒ A copy of the Notice to File Missing Parts of Application - Filing Date Granted (PTO-1533). **(REQUIRED)**
- ☐ An oath or declaration in compliance with 37 CFR 1.63, including residence information and identifying the application by the above Application Number and Filing Date.
- ☒ A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date.
- ☐ An oath or declaration in compliance with 37 CFR 1.63 listing the names of all inventors and signed by the omitted inventor(s), identifying this application by the above Application Number and Filing Date.
- ☐ A verified English translation of the non-English language application papers as originally filed. It is requested that this translation be used as the copy for examination purposes in the United States Patent and Trademark Office.
- ☒ not required verified small entity declaration(s)
 - ☐ is/are attached.
 - ☐ was/were filed on
- ☐ A separate request for refund.
- ☒ Other (list):

**Recordation Form Cover Sheet, Patents Only
Assignment in favor of Wavesplitter Technologies, Inc.
Letter Requesting correction to Filing Receipt**

**Response To Notice To File Missing Parts Of Application
Filing Date Granted (PTO-1533)(Small Entity)**

Docket No.
00-12

In Re Application Of: Yan Wang et al.

MAY 20 2002

Serial No.
10/039,245

Filing Date
12/31/01

Examiner
Unassigned

Group Art Unit
2874

Invention: **OPTICAL COMPONENTS HAVING REDUCED INSERTION LOSS**

TO THE ASSISTANT COMMISSIONER FOR PATENTS:

Attention: Manager, Application Branch

☒ Completion of application fees as calculated below:

☒ Utility application filing fee \$370.00

☐ Design application filing fee

☒ Total number of independent claims = 3

☒ Total number of claims = 29 \$81.00

☐ Multiple dependent claims

☒ Surcharge for late payment of filing fee and/or late filing of original declaration or oath \$65.00

☐ Petition and fee for filing by other than all the inventors or a person not the inventor

☐ Fee for processing an application filed with a non-English language specification

☐ Fee for processing and retention of application

Total completion of application fees \$516.00

This is a request under the provisions of 37 CFR 1.136(a) to extend the period for filing a response to the above-identified Notice to File Missing Parts of Application. The requested extension is as follows (check time period desired). If an additional time extension is required, please consider this a petition therefor.

☒ One month ☐ Two months ☐ Three months ☐ Four months ☐ Five months

from: 4/8/02
Date

until: 5/8/02
Date

Total time extension fees \$55.00

Total fees due 571



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COPY OF PAPERS
ORIGINALLY FILED

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

MAY 20 2002

| APPLICATION NUMBER | FILING/RECEIPT DATE | FIRST NAMED APPLICANT | ATTORNEY DOCKET NUMBER |
|--------------------|---------------------|-----------------------|------------------------|
| 10/039,245 | 2/31/2001 | Yan Wong | 00-12 |

27774
MAYER, FORTKORT & WILLIAMS, PC
251 NORTH AVENUE WEST
2ND FLOOR
WESTFIELD, NJ 07090

CONFIRMATION NO. 7297

FORMALITIES LETTER



OC000000007446891

Date Mailed: 02/08/2002

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.
Applicant must submit \$ 740 to complete the basic filing fee for a non-small entity. If appropriate, applicant may make a written assertion of entitlement to small entity status and pay the small entity filing fee (37 CFR 1.27).
- Total additional claim fee(s) for this application is \$162.
 ▪ \$162 for 9 total claims over 20.
- The oath or declaration is missing.
A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 1032.**

SMALL ENTITY FEES PAID

*A copy of this notice **MUST** be returned with the reply.*

Teddy Borlu

Customer Service Center
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

05/24/2002 MBERHE 00000033 501047 10039245

01 FC:201 370.00 CH
02 FC:205 65.00 CH
03 FC:203 81.00 CH